

EXPRESS MAIL LABEL NO. 27259166US  
DATE: September 23, 2005

JC06 Rec'd PCT 10 23 SEP 2005

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| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371   |  | ATTORNEY'S DOCKET NUMBER<br>REGIM 3.3-040                     |
| INTERNATIONAL APPLICATION NO.<br>PCT/FR03/01197  | INTERNATIONAL FILING DATE<br>15 April 2003 | U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br>10/511,565 |
| TITLE OF INVENTION<br>METHOD FOR PRODUCTION OF A TUNABLE OPTICAL FILTER  |  | PRIORITY DATE CLAIMED<br>17 April 2002                        |
| APPLICANT(S) FOR DO/EO/US<br>Alain Mugnier, Rachelle Leroux, Philippe Yvernault, and David Pureur  |  |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |   |
| <p>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))<br/>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).<br/>b. <input type="checkbox"/> has been communicated by the International Bureau.<br/>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))<br/>a. <input checked="" type="checkbox"/> is attached hereto.<br/>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))<br/>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).<br/>b. <input type="checkbox"/> have been communicated by the International Bureau.<br/>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.<br/>d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (Executed)</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> |  |   |
| Items 11 to 20 below concern document(s) or information included:  |  |   |
| <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. W/SB-08, 10 references</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p>  |  |   |

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| Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. |  |  |
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><b>10/511,565</b>  | INTERNATIONAL APPLICATION NO.<br><b>PCT/FR03/01197</b> | ATTORNEY'S DOCKET NUMBER<br><b>REGIM 3.3-040</b> |

20.  Other items or information: Copy of Notification Of Missing Requirements Under 35 U.S.C. 371 In The United States Designated/Elected Office (DO.E.O.US), Petition Under 37 C.F.R. 1.47 (a) of David Pureur, Petition For Extension Of Time (4 mo.), Return Receipt Postcard

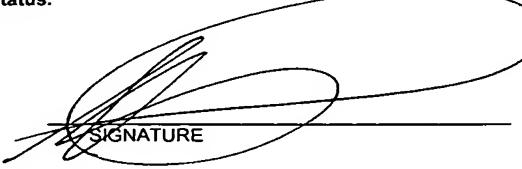
| The following fees have been submitted  |              |   | CALCULATIONS                         | PTO USEONLY |
|---|--------------|---|--------------------------------------|-------------|
| 21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a)) .....   |              |   | \$300                                | \$          |
| 22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c))<br>If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). \$0<br>All other situations ..... \$200   |              |   | \$                                   |             |
| 23. <input type="checkbox"/> Search fee (37 CFR 1.492(b))<br>If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority ..... \$100<br>International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$400<br>All other situations ..... \$500 |              |   | \$                                   |             |
| <b>TOTAL OF 21, 22 and 23 =</b>   |              |   | \$ 0.00                              |             |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof.   |              |   |                                      |             |
| Total Sheets  | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE                                 |             |
| - 100 =   | /50 =        |   | x \$250.00                           | \$          |
| Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).  |              |   | \$ 130.00                            |             |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA  | RATE                                 |             |
| Total claims  | - 20 =       |   | x                                    |             |
| Independent claims  | - 3 =        |   | x                                    |             |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |   | +                                    |             |
|   |              |   | <b>TOTAL OF ABOVE CALCULATIONS =</b> | \$ 130.00   |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½.   |              |   |                                      | 65.00       |
|   |              |   | <b>SUBTOTAL =</b>                    | \$ 65.00    |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).   |              |   |                                      | \$ 130.00   |
|   |              |   | <b>TOTAL NATIONAL FEE =</b>          | \$ 195.00   |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +  |              |   |                                      | \$          |
|   |              |   | <b>TOTAL FEES ENCLOSED =</b>         | \$ 195.00   |
|   |              |   | Amount to be refunded:               | \$          |
|   |              |   | Amount to be charged:                | \$          |

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a.  A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b.  Please charge my Deposit Account No. 12-1095 in the amount of \$ 195.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 12-1095. A duplicate copy of this sheet is enclosed.
- d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.**

SEND ALL CORRESPONDENCE TO:

  
SIGNATURE

Orville R. Cockings

NAME

CUSTOMER NUMBER: 000530

42,424

REGISTRATION NUMBER



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
|-----------------------------|-----------------------|------------------|
| 10/511,565                  | Alain Mugnier         | REGIM 3.3-040    |

000530  
 LERNER, DAVID, LITTENBERG,  
 KRUMHOLZ & MENTLIK  
 600 SOUTH AVENUE WEST  
 WESTFIELD, NJ 07090

Re  
 23 MY 2005  
 Coll

| INTERNATIONAL APPLICATION NO. |            |
|-------------------------------|------------|
| PCT/FR03/01197                |            |
| 04/15/2003                    | 04/17/2002 |

CONFIRMATION NO. 4434  
 371 FORMALITIES LETTER  
 \*OC000000015522197\*  
 \*OC000000015522197\*

Date Mailed: 03/23/2005  
 CM

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 10/15/2004
- Copy of the International Search Report filed on 10/15/2004
- Copy of IPE Report filed on 10/15/2004
- Request for Immediate Examination filed on 10/15/2004
- Copy of references cited in ISR filed on 10/15/2004
- U.S. Basic National Fees filed on 10/15/2004
- Priority Documents filed on 10/15/2004

EDK/KM  
 MAR 28 2005

RECEIVED

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Translation of the application into English. Note a processing fee will be required if submitted later than 30 months from the priority date.
- Processing fee for providing the translation of the application and/or the Annexes later than 30 months from the priority date (37 CFR 1.492(f)).
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$65 Surcharge for providing the oath or declaration later than 30 months from the priority date (37 CFR 1.492(e)) is required.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$195 for a Small Entity:

- \$65 Late oath or declaration Surcharge.
- \$130 for English translation surcharge required.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

MAMIE P PERSON

Telephone: (703) 308-9140 EXT 227

**PART 1 - ATTORNEY/APPLICANT COPY**

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/511,565                  | PCT/FR03/01197                | REGIM 3.3-040    |

FORM PCT/DO/EO/905 (371 Formalities Notice)